

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	8329745
<b>Application Number:</b>	10655409
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6575
<b>Title of Invention:</b>	Computer-implemented securities trading system with a virtual specialist function
<b>First Named Inventor/Applicant Name:</b>	Timothy M. Keiser
<b>Customer Number:</b>	63710
<b>Filer:</b>	Christopher David Agnew/David Postolski
<b>Filer Authorized By:</b>	Christopher David Agnew
<b>Attorney Docket Number:</b>	98-HSX001-C5
<b>Receipt Date:</b>	31-AUG-2010
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<b>Time Stamp:</b>	16:31:19
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	NPL Documents	04-6191-C1_090806_3mo_Non-Final_Office-Action.pdf	1130788 <small>3006c7c0b6d7f952b32d819c1c3303aa5c179d8652</small>	no	24

### Warnings:

### Information:

2	NPL Documents	04-6191- C1_090320_Application.pdf	1487909 b8b5eb5ef7844a2d5412628b3c2ce0 c2533	no	33
<b>Warnings:</b>					
<b>Information:</b>					
3	NPL Documents	04-6196_090123_1mo_Non_Fi nal_Office_Action.pdf	205828 8c3c3d2aefbae0aef912b20b6b19097ddc 8b4c	no	7
<b>Warnings:</b>					
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4	NPL Documents	04-6196_100301_Supplementa l_Notice_of_Allowability.pdf	126918 75dd613df39c3d8818b7ef53b11e6b734c 91e480	no	4
<b>Warnings:</b>					
<b>Information:</b>					
5	NPL Documents	04-6191WOCA_100607_CA_Ex am_Report.pdf	544563 bc48798610b908712e818c16c316c11442 4e05	no	4
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6	NPL Documents	04-6191- C1_100330_Notice_of_Allowanc e_Fees_Due.pdf	466913 d1ad67886304071e7b6c7ce1cd8915553e2 541a	no	11
<b>Warnings:</b>					
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7	NPL Documents	04-6191WOEP_081218_Examin ation_Report.pdf	124467 db1009a1a7402bbec2b3ef74402014bb4 10b20a	no	4
<b>Warnings:</b>					
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8	NPL Documents	04-6191WOAU_091127_Exam report.pdf	170430 77181a19db146de15bdc8d6c52b42bd2f f9fd	no	3
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9	NPL Documents	04-6191WOAU_100222_Official _Notice_of_Acceptance.pdf	110179 a537180c9351f10abd18239c59cd930f3 06cd	no	3
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10	NPL Documents	04-6191- C2_100625_Application.pdf	1487909 b8b5eb5ef7844a2d5412628b3c2ce0 c2533	no	33
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11	NPL Documents	03-6161_030922_Application_as_filed.pdf	2464961 ac58d83536c6e04b7b51e34593ace4e83f dk3a	no	58
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12	NPL Documents	03-6157-C1_091109_Application_Original.pdf	1503627 abab7e05e7c2819bcbdf1ba5fbc27b94e16 9baaf	no	26
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13	NPL Documents	04-6197-C1_100217_AP.pdf	124270 d49bb024e6f9e14a17f80f5a0275c3ba08 5d6ed	no	27
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14	NPL Documents	04-6197CIP-C1_100221_AP.pdf	159224 d05d426d06eeccab11594c32bbab178b 4a247	no	44
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15	NPL Documents	04-6196-C1_100211_AP.pdf	106725 6d6dc27eca0e007b1d6c5b2988e16153c 20781	no	29
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16	NPL Documents	09465607_APP.pdf	844426 8a0994c5e8736762b50a255c3d3e058d2c a045e	no	22
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17	NPL Documents	04-6197_090529_Notice_of_Panel_Decision_from_Pre-Appeal_Brief_Review.pdf	79020 a72bb4f9822cf98f002af03886e64552d0f0 0b16d	no	2
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18	NPL Documents	98-HSX001-C6_app.pdf	1717078 11405ed2a56e2bc32edf11bd1ec18f0ba0 7a26c	no	50
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19	NPL Documents	98-HSX001_960325_AP.pdf	962468 0c72e53322e251146ec38f956d9a0510040 006ac	no	33
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20	NPL Documents	98-HSX001CIP1_981102_AP.pdf	2056756 db17499fa032cd111640b22cd63977bc5c392	no	44
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<b>Information:</b>					
21	NPL Documents	98-HSX001-C4_20021121_AP.pdf	2172754 5ba06c557d4ac0508b21410bd1cd8d97d7385454e	no	44
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22	NPL Documents	99-HSX001-CIP2_990825_AP.pdf	1061627 2f0162e5d471a346c5e04175413b4ac81376d2d	no	26
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23	NPL Documents	99-HSX001CIP2_Examiners_Answer.pdf	737136 44482e3ba9fa020b127a13c51e815c0a7e47dc	no	9
<b>Warnings:</b>					
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24	NPL Documents	98-HSX001-C6_090707_Notice_of_Panel_Decision_from_Pre-Appeal_Brief_Decision.pdf	80929 27cd04027b5ce899d1913e71d6db70006d15dc0ff	no	3
<b>Warnings:</b>					
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25	NPL Documents	03-6157-C1_100817_Interview_Summary.pdf	158250 391e4c06ec7d5dc1e7365a07633c24871ef576d	no	3
<b>Warnings:</b>					
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26	NPL Documents	98-HSX001-CIP3_100603_Notice_of_Panel_Decision_from_Pre-Appeal_Brief_Review.pdf	79597 46201ba3f5b26cd0e95a2d6d01c47d737767705c	no	2
<b>Warnings:</b>					
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27	NPL Documents	03-6164_091109_Interview_Summary.pdf	312955 4fa8b8dc573d3ed3e2127511db2b0c479e25766	no	8
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			20477707		

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.